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PTO/SB/05 (1/98)

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65705 U.S. PTO  
09/583087  
02/01/00  


## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **0756-2203**

First Inventor or Application Identifier **Shunpei YAMAZAKI**

Title: **ELECTRO-OPTICAL DEVICE AND METHOD FOR  
MANUFACTURING THE SAME**

Express Mail Label No.

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)  
2.  Specification  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure  
3.  Drawing(s) (35 USC 113)  
4.  Oath or Declaration  
a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]  
i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b).  
5.  Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a  
copy of the oath or declaration is supplied under Box 4b,  
is considered to be part of the disclosure of the  
accompanying application and is hereby incorporated by  
reference therein.

Total Pages [29]

Total Sheets [10]  
Total Pages [ ]

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OFFICE OF PETITIONS

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

6.  Microfiche Computer Program (Appendix)  
7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a.  Computer Readable Copy  
b.  Paper Copy (identical to computer copy)  
c.  Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

8.  Assignment Papers (cover sheet & document(s))  
 37 CFR 3.73(b) Statement  Power of Attorney  
(when there is an assignee)  
10.  English Translation Document (if applicable)  
11.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations  
12.  Preliminary Amendment  
13.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
14.  "Small Entity" Statement(s)  Statement filed in prior application,  
Status still proper and desired  
(PTO/SB/09-12)  
15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
16.  Other:

\*A new statement is required to be entitled to pay small entity fees,  
except where one has been filed in a prior application and is being  
relied upon.

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No. **08/962,601**  
Prior application information: Examiner: **J. Jackson, Jr.** Group/Art Unit: **2815**

### 18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label

Customer No. 22204

or  Correspondence address below

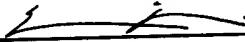
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Name: **Eric J. Robinson**  
Firm: **NIXON PEABODY LLP**  
Address: **8180 Greensboro Drive, Suite 800**  
City: **McLean** State: **VA**  
Country: **U.S.A.** Telephone **(703) 790-9110**

Zip Code: **22102**  
FAX **(703) 883-0370**

Name: **Eric J. Robinson**

Registration No. **38,285**

Signature 

Date: **September 5, 2000**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

## CONTINUED PROSECUTION APPLICATION (CPA) REQUEST TRANSMITTAL

Submit an original, and a duplicate for fee processing.  
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable  
 DUPLICATE

Address to:

Assistant Commissioner for Patents  
Box CPA  
Washington, DC 20231

Atty Docket No of prior appln	0756-1711
First Named Inventor	Shunpei YAMAZAKI
Examiner Name	J. Jackson, Jr.
Group/Art Unit	2815
Express Mail Label No.	

This is a request for a Continued Prosecution Application (CPA) of prior application Serial No. 08/962,601, filed on October 31, 1997, entitled ELECTRO-OPTICAL DEVICE AND METHOD FOR MANUFACTURING THE SAME.

### NOTES

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. A Notice will be placed on a patent issuing from a CPA, except for reissues and designs, to the effect that the patent issued on a CPA and is subject to the twenty-year patent term provisions of 35 U.S.C. §154(a)(2). Therefore, the prior application of a CPA may have been filed before, on or after June 8, 1995.

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request. 37 CFR 1.78(a).

1.  Enter the unentered amendment previously filed on \_\_\_\_\_ under 37 CFR 1.116 in the prior nonprovisional application.
2.  A preliminary amendment is enclosed.
3.  This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
  - a.  DELETE \_\_\_\_\_
  - b.
4.  A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
5.  Information Disclosure Statement (IDS) is enclosed:
  - a.  PTO-1449
  - b.  Copies of IDS Citations

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Burden Hour Statement. This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioners for Patents, Box CPA, Washington, DC 20231.

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CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR § 1.16(c) or (j))	180 - 20* =	160	X \$18.00 =	\$2,880.00
	INDEPENDENT CLAIMS (37 CFR § 1.16(b) or (i))	14 - 3** =	11	X \$78.00 =	\$858.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR § 1.16(d))			+ \$260.00 =	\$260.00
				BASIC FEE (37 CFR § 1.16)	\$690 .00
				TOTAL OF ABOVE CALCULATIONS =	\$ 4,688.00
				Petition Fee	\$130.00
				Reduction by 50% for filing by small entity (Note 37 CFR §§ 1.9, 1.27 & 1.28).	
				TOTAL =	\$4,818.00
	*Reissue claims in excess of 20 and over original patent.				
	**Reissue independent claims over original patent.				

## 6. Small entity status:

- a.  A small entity statement is enclosed, if (b) and (c) do not apply.
- b.  A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- c.  Is no longer claimed.

## 7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to

Deposit Account No. 19-2380:

- a.  Fees required under 37 CFR § 1.16.
- b.  Fees required under 37 CFR § 1.17.
- c.  Fees required under 37 CFR § 1.18.

8.  A check in the amount of \$4,818.00 is enclosed.9.  New Attorney Docket Number, if desired \_\_\_\_\_

(Prior application Attorney Docket Number will carry over to this CPA unless a new Attorney Docket Number has been provided herein.)

10. a.  Receipt For Facsimile Transmitted CPA (PTO/SB29A)

- b.  Return Receipt Postcard (Should be specifically itemized, See MPEP 503)

11.  Other: Petition to Withdraw From Issue Under 37 CFR § 1.313

NOTE: The prior application's correspondence address will carry over to this CPA  
UNLESS a new correspondence address is provided below.

## 10. NEW CORRESPONDENCE ADDRESS

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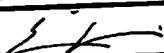
CUSTOMER NO. 22204

or  New correspondence address below

Name: Eric J. Robinson  
 Firm: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, P.C.  
 Address: 8180 Greensboro Drive, Suite 800  
 City: McLean State: Virginia  
 Country: U.S.A. Telephone: (703) 790-9110

Zip Code: 22102  
 FAX: (703) 883-0370

## 11. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print/Type)	Eric J. Robinson
Signature	
Registration No. (Attorney/Agent)	38,285
Date	February 1, 2000